DEPARTMENT OF THE NAVY
OFFICE OF THE SECRETARY
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30 May 1996

SECNAV INSTRUCTION 4105.1

From: SECRETARY OF THE NAVY

Subj: INTEGRATED LOGISTICS SUPPORT (ILS) ASSESSMENT AND CERTIFICATION REQUIREMENTS

Ref: (a) DOD 5000.2-R of 15 Mar 96 (NOTAL)
(b) SECNAVINST 5400.15A of 26 May 95 (NOTAL)
(c) SECNAVINST 5000.2A of 9 Dec 92 (NOTAL)
(d) SECNAVINST 5420.188C of 16 Jul 92 (NOTAL)
(e) SECNAVINST 5200.35C of 7 Jan 91 (NOTAL)

Encl: (1) Integrated Logistics Support Certification Criteria

1. <u>Purpose</u>. To set forth policy and metrics required for assessment and certification of the adequacy of ILS planning, management, resources, and execution in support of the research and development, acquisition, production, and Fleet introduction of new or modified systems (i.e., platforms/systems/equipment for the purposes of this instruction).

2. <u>Background</u>. Department of Defense (DOD) and Department of the Navy (DON) policy for the acquisition of platforms/systems and associated logistics support is contained in references (a) through (d). Reference (b) requires ILS be assessed independently and that this assessment be the basis for ILS certification by the cognizant Program Executive Officer (PEO), Direct Reporting Program Manager (DRPM), or Systems Command (SYSCOM) Commander. By reference (b), the Chief of Naval Operations (CNO) and the Commandant of the Marine Corps (CMC) were assigned the responsibility to provide for review of ILS planning, management, resources, and execution. Previously, this responsibility had been performed by the Deputy Chief of Naval

Operations (DCNO)(Logistics)(N4) staff for Acquisition Category (ACAT) I, II, and selected ACAT III programs using the Logistics Review Group process, and by the respective SYSCOM Commanders for ACAT III programs replicating the N4 procedures, and for ACAT IV programs using their own review procedures. The logistics reviews for Marine Corps programs had previously been performed by the Commander, Marine Corps Systems Command, in concert with the Deputy Chief of Staff (DC/S) for Installations and Logistics (I&L) and the Commander, Marine Corps Logistics Bases (COMMARCORLOGBASES). The responsibility for ILS reviews of all ACAT programs is now assigned to the cognizant PEO/DRPM/SYSCOM Commander, while CNO and CMC retain responsibility for validating and overseeing the process and ensuring that the process results in fully supported systems at Initial Operational Capability (IOC).

3. **Scope**. This instruction applies to all phases of acquisitions (including joint Service programs whether the DON is the executive, participating, or lead Service) which will introduce systems to be operated, maintained, and supported by Navy or Marine Corps forces with the exception of systems under the responsibility of the Director, Strategic Systems Programs and the Nuclear Power Directorate of the Naval Sea Systems Command.

4. **Policy**

   a. The cognizant PEO/DRPM/SYSCOM Commander is responsible for ensuring ILS is reviewed for readiness to proceed and for reporting the results to the cognizant Milestone Decision Authority (MDA). The review will be accomplished on a schedule which supports each acquisition decision milestone and initial and full operational capability (FOC). Each review will encompass all programmatic aspects that address or affect supportability, logistics, or readiness.

   b. The cognizant PEO/DRPM/SYSCOM Commander is responsible for certifying to the MDA the adequacy of ILS planning, management, resources, and execution of all ACAT programs using the certification criteria of enclosure (1).

   c. Recommendations to the MDA regarding program continuance shall consider logistic factors in balance with other major decision factors and will address the breadth and depth of logistic functional, threshold, and policy requirements.

d. CNO and CMC, as appropriate, are responsible for validating the cognizant PEOs'/DRPMs'/SYSCOM Commanders' ILS assessment process per reference (b) and ensuring that the process results in fully supported systems at IOC.

5. Action

a. The PEOs/DRPMs/SYSCOM Commanders, for ACAT I, II and selected ACAT III programs shall:

(1) Within 6 months of the date of this instruction, establish, document, and maintain a process/procedure for ILS assessments prior to each program acquisition review milestone (including the first Limited Rate Initial Production (LRIP) milestone when LRIP is not included in the Engineering and Manufacturing Development acquisition strategy or subsequent ILS review) and IOC/FOC and ensure each assessment is conducted accordingly. Use of the "Logistics Assessment Handbook" in this effort is recommended.

(2) Designate a qualified independent team leader and a qualified assessment team, which would include membership from the appropriate Integrated Product Team (IPT), to conduct continuous or discrete event assessments. For Navy programs, representatives from the Offices of the Assistant Secretary of the Navy (Research, Development and Acquisition)(ASN(RD&A)) Director of Product Integrity (PI); Chief of Naval Operations (Supportability, Maintenance, and Modernization Division (N43), Shore Activities Division (N44) and Environmental Protection, Safety, and Occupational Health Division (N45)); Naval Supply Systems Command (NAVSUPSYSCOM); Naval Facilities Engineering Command (NAVFACENGCOM); Naval Safety Center; and cognizant training agents will be invited to participate as members of the team. For Marine Corps programs, representatives from the Offices of the Assistant Secretary of the Navy (RD&A)(PI); Headquarters, Marine Corps; Marine Corps Logistics Bases; and Fleet Marine Forces will attend as required. Formal participation by the Type and Force Commanders, or their designated representatives, and other interested Fleet/Marine Corps activities, is required for all IOC and FOC assessments. (Fleet/Marine Corps representatives and the Assistant Secretary of the Navy (ASN(RD&A)) Special Assistant for Logistics (LOG) will, as a minimum, be invited to participate in each review).

3

(3) Ensure adequate notification is provided to all participants prior to initiation of each independent assessment.

(4) Ensure draft reports of all ILS assessments are provided to the Logistics Assessment (LA) board members sufficiently in advance of the board meeting.

(5) Convene and chair LA board meetings for programs under their cognizance, as deemed necessary, to resolve issues resulting from the assessment and to provide recommendations to withhold or grant ILS certification and to proceed or not proceed to the milestone. The following flag-level members, or their designated representatives, comprise the LA board membership:

- ASN (Manpower and Reserve Affairs)(ASN(M&RA)).

- ASN (RD&A)(LOG).

- ASN (RD&A)(PI).

- ASN (Installations and Environment)(ASN(I&E)).

- DCNO (Manpower and Personnel)(N1) or DC/S Manpower and Reserve Affairs (M&RA), as applicable.

- Director of Naval Training (N7) or Commanding General, Marine Corps Combat Development Command (CG MCCDC), as applicable.

- Special Assistant for Safety Matters (N09F) or Director of Safety Division, Headquarters Marine Corps, as applicable.

- Representative of the cognizant warfare area of the system under review.

- DCNO (Logistics)(N4) or CMC (DC/S I&L), as applicable.

- Commander, NAVSUPSYSCOM or COMMARCORLOGBASES, as applicable.

- Commander, NAVFACENGCOM.

- CMC (as appropriate).

- Cognizant Training Agent (as appropriate).

4

(6) Ensure the following specific areas are reviewed during each assessment: Maintenance planning (including mission-oriented operational availability, logistics support analysis, reliability centered maintenance, warranty, depot and installation planning); supply support; facilities; packaging, handling, storage, and transportation; manpower, personnel, training, and training support; configuration management; support and test equipment (including calibration); software support; technical data (including technical manuals, other maintenance publications, and drawings, etc.); design interface (including reliability, maintainability, quality assurance, safety, standardization, testability, and human factors engineering); ILS budgeting and funding; ILS management; computer-aided acquisition and logistics support; environmental planning factors and environmental impact analysis; environmental compliance and conservation; use of environmental preferable products and services and use of recyclable products; pollution prevention; hazardous materials control and management; occupational health; and radiation safety.

(7) Prepare a final assessment report for each assessment and submit to the cognizant MDA with copy to ASN(RD&A)(LOG), DCNO (Logistics)(N4) and/or CMC (DC/S I&L), as appropriate, the LA board members, and other interested parties, as necessary. Each report must contain sufficient information on the program (e.g., background, operational requirement, system/equipment description, operational scenario(s), acquisition strategy, procurement quantities, etc.) and the assessment (purpose, scope, dates, team members) to inform recipients fully. Each report is to identify the elements assessed during the review, providing an explanation for each of the areas not assessed. Each report is also to contain the resultant observations/findings, draw conclusions regarding the program's ILS posture, and provide recommendations regarding ILS certification and the program's proceeding into the next phase. Reports may be tailored to the program's ACAT level. Additionally, if any ILS policy issues are identified as deficient, they are to be included in the report with recommendations for correction of the faulty policy or instances of non-conformance with policy. Following the LA board meeting (if convened), ensure an appendix to the report is prepared by the team leader to document the meeting's results and actions directed with respect to the draft report (e.g., issues or recommendations added, deleted, revised or proposed certification status changed).

(8) Ensure all actions directed in the final report are accomplished satisfactorily. For those actions directed to be completed prior to issuance of ILS certification, provide written status of each to the cognizant MDA with a copy to ASN(RD&A)(LOG) and DCNO (Logistics)(N4) and/or CMC (DC/S I&L), as appropriate, prior to all Acquisition Review Boards (ARBs)/program reviews/ strategy sessions/Program Decision Meetings (PDMs). If the program's ILS status changes between the assessment or the ARB and the PDM, provide an updated report to the MDA, ASN(RD&A)(LOG) and DCNO (Logistics)(N4) and/or CMC (DC/S I&L), as appropriate, prior to the PDM. Address unresolved certification issues during the preparatory PDM briefing cycle and at the PDM.

(9) Ensure groups of LA reports are analyzed bi-annually and develop lessons learned reports which identify overall deficiency trends. Submit reports and resultant resolution of the deficient areas (i.e., measures taken to preclude recurrence) to ASN(RD&A)(LOG), with a copy to DCNO (Logistics)(N4) and/or CMC (DC/S I&L), as appropriate. Include any indicators that existing policy is inadequate or becoming obsolete.

(10) Perform "ILS review process" vulnerability assessments per reference (e).

b. The PEOs/DRPMs/SYSCOM Commanders, for remaining ACAT III and IV programs shall:

(1) Within 6 months of the date of this instruction, establish, document, and maintain a process/procedure for ILS assessments prior to each program acquisition review milestone (including the first LRIP milestone when LRIP is not included in the Engineering and Manufacturing Development acquisition strategy or concomitant ILS review) and IOC/FOC and ensure each assessment is conducted accordingly.

(2) For ACAT III programs, prepare a final assessment report for each assessment and submit to the cognizant MDA with copy to ASN(RD&A)(LOG), DCNO (Logistics)(N4) and/or CMC (DC/S I&L), as appropriate, the LA board members, and other interested parties, as necessary. Each report is to identify the following: elements assessed during the review (providing an explanation for each of the areas not assessed), assessment observations and/or findings, conclusions regarding the program's ILS posture, and recommendations regarding ILS certification and program's proceeding into the next phase.

c. DCNO (Logistics)(N4) and CMC (DC/S I&L), as appropriate, will:

(1) Provide support to ASN(RD&A) in logistics matters.

(2) Validate the PEOs'/DRPMs'/SYSCOM Commanders' assessment process for compliance with the provisions of this instruction and ensure that the process results in fully supported systems at IOC. The process shall be revalidated at least every 3 years.

(3) Provide training to PEOs/DRPMs/SYSCOM Commanders, their designated assessment team leaders and members.

(4) Designate a representative to serve as a member of the LA board.

(5) Participate and assist in the assessment process.

(6) Develop and maintain a "Logistics Assessment Handbook" to guide PEOs/DRPMs/SYSCOM Commanders in the planning and execution of their assessment and certification responsibilities.

(7) Serve as Navy's/Marine Corps' advocate for logistics policy improvement based on results of assessments and recommend policy changes.

(8) Assist in identification of environmental issues for early impact analysis, pollution prevention, and hazardous material management.

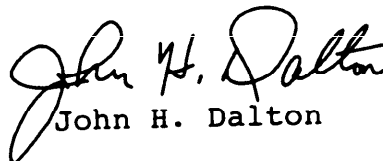d. ASN(RD&A)(PI), ASN(I&E), Commander NAVSUPSYSCOM, Commander NAVFACENGCOM, CNO (N09F, N1, N7), CG MCCDC, COMMARCORLOGBASES, and CMC(DC/S M&RA) will:

(1) Designate a representative to serve as a member of the LA board.

(2) Provide qualified personnel to serve on assessment teams to review matters under their cognizance.

e. ASN(RD&A)(LOG), ASN(M&RA), and CNO (N6, N8) will designate a representative to serve as a member of the LA board.

6. <u>Reports</u>. The reports required by this instruction are exempt from reports controlled by SECNAVINST 5214.2B.

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INTEGRATED LOGISTICS SUPPORT
CERTIFICATION CRITERIA

Acquisition programs are to be logistically certified utilizing the criteria below.

GREEN (READY TO PROCEED)

A program is logistically ready to proceed when there are no major issues to be resolved or actions required before the Program Decision Meeting and there are commitments and realistic completion dates set for all other important matters affecting supportability or life cycle affordability.

YELLOW (CONDITIONALLY READY TO PROCEED)

A program is conditionally ready to proceed when there are major issues or actions outstanding, provided that those can be addressed and resolved subsequent to a milestone without unduly compromising supportability, readiness, or life cycle cost.

RED (NOT READY TO PROCEED)

A program is not ready to proceed when there are major issues or actions outstanding which require resolution before a Program Decision Meeting or when realistic resources, plans, or commitments are not in place for major issues or actions that are to be addressed after the Program Decision Meeting. Examples are:

- Logistics planning and execution are inadequate to ensure delivery of fully supportable systems.

- Accomplishments do not satisfy intent of DOD/DON policy.

- Operational requirements do not adequately address supportability.

- Valid support requirements are not fully funded and no approved workarounds are in place.